

I. OVERVIEW

A. BACKGROUND AND LEGISLATIVE INTENT

Tobacco use is the single most preventable cause of death and disease today. In California, 17 percent of the population are current smokers; more than 43,000 Californians die each year from tobacco-related diseases. Tobacco use costs the California economy more than \$85.6 billion a year in health-related costs. The tobacco industry spends \$1 million per day in California promoting its products. Much of this promotion is directed at youth.

According to the 2000 Monitoring the Future survey, 15 percent, 24 percent, and 31 percent of the 8th-, 10th-, and 12-graders, respectively, indicated smoking at least once in the prior 30 days. The proportions who were daily smokers were 7 percent, 14 percent, and 21 percent. After reporting a nearly 50 percent increase in the rate of smoking among teens between 1991 and 1996, the study has shown a fairly steady reduction in smoking since then, but the rates still remain higher in 2000 than those reported in 1991.

In California, the youth tobacco rates are much lower than the national rates. According to the 1999-2000 California Student Survey Preliminary Findings report, "...current (past 30 days) cigarette smoking was much lower in all three grades" (7, 9 and 11) than in 1997-98." In particular, among 9th graders it declined from 23 percent in 1997-98 to 13 percent. Among 7th graders, current cigarette smoking declined from 11 percent to 7 percent. Among 11th graders, it declined from 27 percent to 21 percent." Although these decreases indicate promise for tobacco prevention and intervention programs, the continuing efforts are needed to reach all students. Tobacco-Use Prevention Education (TUPE) programs in schools are closely monitored by those who want to provide youth with effective tobacco-use prevention education and intervention programs that will result in a decline of tobacco use by youth. Research substantiates that school tobacco prevention programs can effectively prevent the initiation, reduce prevalence, increase the cessation rate, and reduce the percentage of teens using tobacco.

Proposition 99, approved by the California voters in the November 1988 general election, increased by 25 cents the tax on each pack of cigarettes sold in the state. The 1988 legislation requires 90 percent of the funds received for local assistance to be allocated to county offices of education and public school districts for programs in schools. Funding for tobacco-use prevention, intervention, and cessation programs for grades four through eight is to be allocated on an entitlement basis. Funding for such programs in grades nine through twelve is to be awarded on a competitive grant basis. The legislation also authorizes the California Department of Education (CDE) to establish Innovative and Promising Programs to Prevent and Reduce Tobacco-Use Among School-Age Youth. The 2001-2002 Budget Act appropriated funds for tobacco-use prevention education in schools from the Cigarette and Tobacco Products Surtax. Additionally, Proposition 10, approved in 1998, and the Attorney General's tobacco settlement may also

provide funds for these programs.

The California Department of Health Services (DHS) also receives anti-tobacco health education monies to fund a statewide media campaign and community tobacco-use prevention and reduction programs, including competitive grants for projects targeting a number of groups, including youth.

One of the objectives of the Cigarette and Tobacco Products Surtax Fund is to reinforce cooperation and collaboration between state and local health and education agencies. DHS and CDE work collaboratively on various aspects of tobacco-use prevention education and facilitate coordination between school districts, county offices of education, and local lead agencies for tobacco control.

The CDE's focus within the Healthy Kids Program Office (HKPO) is to provide students with knowledge and skills to enable them to make healthy lifestyle choices, including being tobacco-free. Successful tobacco-use prevention, intervention and cessation programs are an important part of this effort and an effective weapon against four of the five leading causes of death in California: heart disease, cancer, chronic obstructive lung disease, and fires caused by smoking.

B. DEVELOPING TUPE PROGRAMS USING THE PRINCIPLES OF EFFECTIVENESS

To promote the most effective use of limited resources and to fund effective programs that demonstrate progress toward preventing and/or reducing the use of tobacco, the CDE supports the following Principles of Effectiveness as adopted by the United States Department of Education. The application of these Principles will serve as the basis for considering the applications submitted through this Request for Applications (RFA) process.

Principle 1: Conducting An Assessment

A grant recipient shall base its program on a thorough assessment of objective data about the tobacco-use problems in the schools and communities served. This information should help establish the high priority targets for the program.

Information about needs and strengths may be found in current local assessments, such as the California Healthy Kids Survey (CHKS) or other surveys, and in the district's Local Improvement Plan (LIP).

Existing efforts and activities in the community should also be included in the assessment. Programs should be coordinated with community anti-smoking efforts, including those of local chapters of voluntary organizations, such as the American Cancer Society, the American Lung Association, the American Heart Association, and Americans for Non-Smokers Rights. Coordination should also

occur with local programs funded by county health departments/local lead agencies and the DHS, Tobacco Control Section. Your county office of education TUPE Coordinator has a list of the current tobacco control funded entities in your area. (Refer to Section IV of the RFA for the list of county coordinators.)

Principle 2: Setting Measurable Goals and Objectives

A grant recipient shall, with the assistance of a local or regional advisory council which includes community representatives, establish a set of measurable goals and objectives, based on the needs assessment data, and design its activities to meet those goals and objectives.

Areas to be covered during the decision-making process should include:

- Priority needs and strengths based upon behaviors and attitudes identified in the assessment,
- Baseline information regarding present behaviors and attitudes,
- Desired measurable changes in behaviors and attitudes, and
- Amount of time to be allowed for the desired changes.

A goal is defined as a general statement of a long range target or purpose and should directly address the needs identified in the needs assessment process. It must be outcome or results (not process) oriented.

Example: GOAL: To support the tobacco-free status of non-using students and reinforce knowledge through tobacco prevention instruction lessons.

Objectives should be stated positively and when accomplished should lead to the goal. Components of an objective include a time frame, target of change, results (not activities) to be achieved, and criteria for measuring results.

The desired results should be connected to address the unique needs of students as prioritized by the stakeholders using relevant strategies and indicators to prevent and/or reduce tobacco use.

Examples: **Program Implementation Objective**

By June 2003, all Health Education teachers will provide at least 6 tobacco instruction lessons to 9th grade students as evidenced in the teachers' lesson plans.

Student Outcome Objective

By March 2005, over 90 percent of the non-smoking 11th grade students will maintain a tobacco-free status as measured by the CHKS.

Objectives should be time-limited, provide accomplishment milestones, cover a single outcome or event, be written in quantifiable terms, be realistic and attainable

given available (or attainable) resources, and indicate a baseline. The applicant is encouraged to establish measurable student outcome objectives based on the performance indicators required for TUPE Grades 4-8 entitlement funds.

Principle 3: Employing Effective Research-Based Programs

All applicants shall design and implement activities based on published research or evaluation that provides evidence that the strategies and programs used prevent or reduce tobacco use.

Getting Results: Developing Safe and Healthy Kids is a CDE document that focuses on guidelines for program design from research on effective practices. Part II focuses on Tobacco Use Prevention Education and is directly relevant to this RFA. (Part I and Update 1 provide related information about safe and drug free schools and youth development research.)

- Part I, California Action Guide to Creating Safe and Drug-Free Schools and Communities**
- Update 1, Positive Youth Development: Research, Commentary, and Action**
- Part II, California Action Guide to Tobacco Use Prevention Education**

All county office of education TUPE Coordinators and many school district prevention coordinators have a copy of *Getting Results*. It is also available for a four-week loan (#7002), with free delivery, from the **California Healthy Kids Resource Center (CHKRC)** at www.californiahealthykids.org or it may be ordered from CDE Publications. (An order form is included in Section IV of this RFA.) The CHKRC may also be contacted at 510-670-4581.

To further assist applicants in their search for research-based programs that include effective strategies for all target groups, access the *Getting Results* website on the internet at www.gettingresults.org.

At the CHKRC website, the Research and Planning section provides the following resources designed to help you plan your TUPE Competitive Application:

Summary of Research Supported Strategies: This online document summarizes the school-based TUPE strategies for which there are published research support, including instructional content, content enhancements, program delivery, and strategies for special populations.

TUPE Empirical Evidence Chart: This outline chart shows which research studies provide support for each of the TUPE strategies summarized in the document above.

Annotated Bibliography of TUPE Research Articles: This online document provides a detailed summary of each of the fifty TUPE research studies

summarized and charted in the document above. Each summary includes the article reference, research objectives, subjects, intervention, research method and description of tobacco-use related results, and results of any other drug use.

Reviewed TUPE Materials for Research Supported Strategies: This online document provides search guidelines and hot links to reviewed TUPE classroom materials, such as curricula and video tapes, aligned with the Research Supported TUPE Strategies. The materials can be ordered online for four-week loans, with free delivery.

To Borrow *Getting Results*, including the Action Guide to TUPE (#7002): This link takes you to the material information page on the CDE document *Getting Results*, which can be ordered online for free loan.

To borrow a binder of full text and all referenced TUPE research articles (#7047): This link takes you to the material information page for the binder of fifty TUPE research articles, which can be ordered online for free loan.

If you have any questions about accessing the online TUPE research summaries or ordering materials for free loan from the California Healthy Kids Resource Center, please call 510-670-4581 for assistance.

Principle 4: Conducting Program Evaluation

All successful applicants shall evaluate their TUPE programs periodically to assess the progress toward achieving their goals and objectives. Evaluation data should be used to refine, improve, and strengthen the program, and to refine the goals and objectives as appropriate.

The Principles of Effectiveness becomes a circular process wherein the evaluation becomes part of the needs assessment, which refines the process by revising goals and objectives, as needed, and making program adjustments.

C. STATEWIDE EVALUATION AND THE CALIFORNIA HEALTHY KIDS SURVEY (CHKS)

All successful applicants and participating districts will be required to conduct the district-level CHKS (core module and tobacco module, at a minimum) to a representative population of students in grades 7, 9 and 11. The survey is to be administered within the first year of funding and at least every other year thereafter as long as TUPE funding is received. Positive parental permission must be obtained prior to administration. Please note that successful applicants, in order to get district wide representative data, may be required to conduct the district-level


CHKS in schools and in grade levels not participating in the proposed program. For additional information regarding the administration of the CHKS, refer to Section IV of this RFA or contact WestEd at (888) 841-7536 or visit their website at www.wested.org/hks.

Additionally, the DHS will contract to conduct a statewide evaluation of school-based tobacco-use prevention education and cessation programs. Randomly selected TUPE programs will be required to participate in this evaluation.

The signature of the Superintendent or designee on the Application Cover Sheet serves as an assurance of the applicant's willingness to participate in the statewide evaluation, if selected for the sample, in addition to administering the CHKS.

II. APPLICATION INFORMATION

A. CRITICAL DATES FOR THE TUPE APPLICATION PROCESS

October 2001	TUPE RFA issued to school districts, county offices of education and others requesting the RFA
November 1,5,6,8, and 13, 2001	 RFA information meetings <i>(Refer to the inside cover page of the RFA for times and locations)</i>
December 14, 2001	"Intent to Apply" form due
February 13, 2002	Applications must be received by 4:00 p.m. in the California Department of Education, Healthy Kids Program Office.
March 5-8, 2002	Readers' Conference for Grades 9-12 Programs Applications
March 19 - 21, 2002	Readers' Conference for Middle and Junior High School Promising Tobacco Programs Applications
April 15, 2002	Intent to Award Grants announced
April 15 - 19, 2002	Appeal period
June 1, 2002	Program funding starts (Promising Tobacco Programs)
July 1, 2002	Program funding starts (Grades 9-12)
March 31, 2005	Program funding ends for both programs

B. TOBACCO-FREE CERTIFICATION

In order to apply for any TUPE funds, the applicant agency and all school districts represented in a consortium application must have been certified by the CDE as having met the tobacco-free school district criteria on or before July 1, 2002. The applicant agency and the school districts represented in the application must continue to meet the criteria, including enforcement of the tobacco-free policy. The signature of the Superintendent or designee on the Application Cover Sheet constitutes an assurance that county offices of education, school districts, and charter schools represented in the application meet the tobacco-free school district and county office of education requirements, pursuant to AB 3487 and Health and Safety Code Section 104420 (p)(2).

A fully implemented tobacco-free policy must be board-adopted and include the following:

- The policy shall prohibit the use of tobacco products at any time, in district-owned or leased buildings, on district property, and in district vehicles.
- Information about the policy and enforcement procedures shall be communicated clearly to school personnel, parents, students, and the larger community.
- Signs stating "Tobacco Use is Prohibited" shall be prominently displayed at all entrances to school property.
- Information about smoking cessation support programs shall be made available, and encouraged for students and staff.

C. TOBACCO INDUSTRY FUNDING

Any applicant for TUPE grant funding, including County Offices of Education, School Districts and Charter Schools, that receive any funding from the tobacco industry will be prohibited from applying for these funds.

D. APPLICATION REVIEW AND GRANT AWARD PROCESS

The Deputy Superintendent of the Child, Youth and Family Services Branch in CDE will select applications for funding based on the recommendations of the HKPO grant application reviewers.

E. SCREENING PROCESS

All proposals will be screened for compliance with the RFA. The CDE reserves the right to disqualify applications that do not include **all** program components; budget summary/budget justification; or the original signature of the superintendent (or designee); or which are not received in the Healthy Kids Program Office by 4:00 p.m. on Wednesday, February 13, 2002.

Further, LEAs applying for continuing funding must be up to date on all required deliverables for their current grant.

F. CRITERIA AND SCORING SYSTEM

Grantee selection is determined on a competitive basis. The extent to which the application meets the scoring criteria is the primary basis for selection.

State and local representatives will receive training and then review and score applications at the Readers' Conferences. All applicants will compete against the scoring rubric. The key concepts of the TUPE program, as described in the RFA,

form the basis for the scoring rubric.

Each application will be independently reviewed and scored by trained readers. The readers will then discuss the application and write comments together. If the readers' scores fall within a predetermined limit, the scores are "in agreement" and are then averaged.

In the event of a significant disparity between readers' scores on individual criterion items or total scores, an additional reading will be conducted and the closest scores will be averaged for the ranking.

To the extent possible, the CDE intends to distribute grants to applicants in northern, central, and southern California that represent urban, suburban, and rural communities.

G. AWARD NOTIFICATION

Notification of awards will be made in writing to applicants on April 15, 2002. In addition, the Intent to Award Grants lists will be faxed to the County TUPE Coordinators. These lists will also be posted on the CDE HKPO website at: <http://www.cde.ca.gov/healthykids/> and in the Healthy Kids Program Office at:

California Department of Education
721 Capitol Mall, 3rd Floor
Sacramento, CA

Applications and score sheets will be available for review, at the HKPO for a five-day period only, commencing at 8 a.m. on April 15, 2002, and ending at 4 p.m. on April 19, 2002.

H. APPEAL PROCESS

Applicants wishing to appeal a grant award decision must submit a letter of appeal by mail, fax, or in person to:

Administrator
Healthy Kids Program Office
California Department of Education
721 Capitol Mall, Third Floor
Sacramento, CA 95814
Fax: (916) 654-5131

The letter of appeal, with a signature by the authorized person who signed the application, must be received by 4 p.m. on April 19, 2002.

Appeals shall be limited to the grounds that CDE failed to correctly apply the standards for reviewing the applications as specified in the RFA. The appellant must file a full and complete written appeal, including the issue(s) in dispute, the

legal authority or other basis for the appeal position, and the remedy sought. Incomplete or late appeals, or appeals which only refute the readers' comments that are provided for technical assistance will not be considered. The application will be re-evaluated by CDE designees or staff. The final decision on the appeal will be made by the CDE Deputy Superintendent of the Child, Youth and Family Services Branch and shall be the last administrative action afforded the appellant.

I. BUDGET MODIFICATIONS

Surplus funds from a given line item of the approved budget, up to 10 percent of that line item, may be used to defray allowable direct costs under other budget line items without prior approval. Any budget line item increase or decrease of more than 10 percent requires an approved budget revision as required by State law or CDE policy. Changes may not be made which increase the rates of reimbursement, unless they are part of a negotiated collective bargaining agreement. The total grant amount may not be increased, but may be decreased by CDE pending available funds.

J. RETENTION OF RECORDS

The LEA is to maintain accounting records and other evidence pertaining to costs incurred, with the provision that they shall be kept available by the LEA during the funding period and thereafter for three full years from the date of the final payment. The CDE staff are to be permitted to audit, review, and inspect the grantee's activities, books, documents, papers and records during the progress of the work and for three years following final payment.

K. DRUG-FREE WORKPLACE CERTIFICATION

The CDE will mail each successful applicant a Drug-Free Workplace Certification Form (Std. 21) to be signed by the Superintendent to certify that the district or county will maintain a drug-free workplace, as required by Government Code 8355. The Drug-Free Workplace Certification Form, with original signature, must be submitted to the CDE's HKPO prior to the release of an official funding award.

I. CANCELLATION NOTICE

The terms of the grant may be canceled with a 30-day notice. It is mutually agreed that either party may cancel this agreement by giving a 30-day advance written notice.

M. ADDITIONAL INFORMATION

Any prospective applicant needing clarification on this RFA may contact the appropriate county office of education TUPE coordinator or the appropriate CDE HKPO regional consultant for program clarification issues or assigned analyst for fiscal clarification issues. (Refer to Section IV.)

III. HOW TO APPLY FOR TUPE FUNDING

A. INSTRUCTIONS FOR COMPLETING AN APPLICATION

1. Intent to Submit an Application (Attachment 1)

The Intent to Submit an Application is due to the HKPO by **Friday, December 14, 2001**. Failure to submit a notice of intent by the deadline date, however, will not preclude the agency from submitting an application. Nonetheless, applicants who do not submit a notice of intent will be removed from the RFA mailing list and will not receive any further communication from the CDE of any changes or pertinent correspondence regarding this application.

2. Application Due Date

Application packages must be **received** in the HKPO of the CDE (721 Capitol Mall, 3rd Floor) no later than 4:00 p.m. on Wednesday, February 13, 2002.

Transmission of applications by electronic mail or fax is **NOT** allowed and will not be accepted. Applicants should use express, certified, or registered mail. Applications received after 4:00 PM on February 13, 2002 will **NOT** be read.

3. Application Preparation and Submission

For specific information on the application narrative, budget, and scoring rubric, refer to the appropriate section identified below:

- Section III B for Grades 9-12
- Section III C for Middle & Junior High School Promising Tobacco Programs

Applicants are to use the forms in the appropriate application packets found in Section V. (Application Packet 1 for Grades 9-12 and Application Packet 2 for Middle and Junior High School Promising Tobacco Programs.)

- Forms may be duplicated or computer generated.
- Page margins do not apply and single spacing is acceptable.
- Page limitations apply only when noted on the component form.
- A 12 point font must be used.
- Each page must be single sided and 8 1/2" x 11" in size.

Each application must be stapled or binder clipped in the upper left hand corner. Do not use binders, covers, flat folders, or cover letters.

The applicant is responsible for ensuring the application package is complete and there are no missing pages/forms prior to submission. CDE cannot add items to, nor remove items from the applications received.

4. Cost of Preparing the Application

Preparation, delivery and travel costs associated with the application shall be the sole responsibility of the applicant. The State of California shall not provide reimbursement for such costs.

5. Terms of the Grant

Compensation:

<u>Percentage of Funds to be Allocated</u>	<u>Process</u>
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50 percent

Successful applicants will automatically receive a cash advance after satisfactorily addressing any program and/or budget stipulations and the submission of the Drug-Free Workplace Certification and the Acceptance of Grant Conditions and Assurances forms. Successful applicants will receive these forms with their letter of congratulations.

25 percent

The grantee can receive another advance (25 percent) by submitting to the CDE an Expenditure Report/Request for 25 percent Cash Advance form (to be provided to successful applicants in the Grant Award Packet) showing that, at a minimum, the initial advance of 50 percent of the funds has been expended or encumbered.

Note: Applicants are to be current on all required reports before any cash advances can be processed.

Final

The final 25 percent, or portion thereof, will be held pending receipt of the final program report, evaluation report, the results of the CHKS, and the final expenditure report, all of which are due within 45 days of the grant termination date.

All funding for both the 9-12 and Middle and Junior High School Promising Grants must be expended no later than March 31, 2005. Since many programs may operate until the end of the school year, June 30, 2005, grantees will need to plan accordingly and use local funds to carry their projects through from April 1, 2005 to June 30, 2005.

Travel:

All local travel costs pertaining to these grants shall be reimbursed with grant funds at rates that do not exceed those established in negotiated bargaining

contracts or approved by local school boards. Out-of-state travel by a grantee for purposes of these grants is not permitted.

The CDE may conduct one regional meeting that would require attendance of a representative from agencies awarded a grant through this RFA process. Travel costs would be minimal since this meeting would generally be within 50-100 miles. Applicants should budget for this meeting.

Deliverables:

All successful applicants must agree to submit the following deliverables by the designated due dates:

<u>Deliverable</u>	<u>Due Date</u>
6-Month Progress Report	February 15, 2003 (Category I and Promising Tobacco Program only)
12-Month Progress Report	August 15, 2003
24-Month Progress Report	August 15, 2004
Final Expenditure Report	May 16, 2005
Final Program Report	May 16, 2005

Note: The Final Program Report is to include a summary of the program and student progress for the entire (33 or 34 month) grant term with conclusions derived from CHKS data and evaluation results for future program planning.

Certification of Acceptance of Grant Conditions and Assurances AND Drug-Free Workplace Certification:

All successful applicants must agree to the grant conditions and assurances and to comply with the Drug-Free Workplace Act. Acceptance must be acknowledged by the successful applicant's signature on two documents:

- 1) The *Certification of Acceptance of Grant Conditions and Assurances*, and
- 2) The *Drug-Free Workplace Certification*

These forms will be sent to each successful applicant in the letter of congratulations.